

# **SOLICITATION FOR FINANCIAL ASSISTANCE APPLICATIONS**

**SOLICITATION NUMBER DE-PS36-00GO10496**



## **MILLION SOLAR ROOFS INITIATIVE SMALL GRANT PROGRAM FOR STATE AND LOCAL PARTNERSHIPS**

Issuing Office: U.S. Department of Energy  
Golden Field Office  
1617 Cole Boulevard  
Golden, CO 80401-3393

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**Applications Due: February 1, 2000**

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This Solicitation and any Amendments are available via Internet at  
<http://www.eren.doe.gov/golden/solicitations.html>.

## TABLE OF CONTENTS

<u>SECTION TITLE</u>	<u>PAGE</u>
I. INTRODUCTION .....	1
A. Objective .....	1
B. Scope .....	2
C. Technical Evaluation Criteria .....	4
II. GENERAL INFORMATION .....	5
A. Solicitation Definitions .....	5
B. Eligibility Requirements .....	7
C. Amendment and Applicant Notice of Intent to Submit an Application .....	8
D. Time and Place for Submission of Applications .....	8
E. Questions .....	8
F. Award Instrument .....	9
G. Cost Sharing .....	9
H. Catalog of Federal Domestic Assistance (CFDA) Number .....	9
I. Sub-awards to Debarred and Suspended Parties .....	9
J. Financial Assistance for Application Preparation .....	10
K. National Environmental Policy Act (NEPA) Requirements .....	10
L. Notice Regarding Eligible/Ineligible Activities .....	10
M. Lobbying Restrictions .....	10
N. Notice Regarding Purchase of American-Made Equipment and Products -- ..	11
III. APPLICATION PREPARATION INSTRUCTIONS .....	11
A. General Instructions .....	11
B. Proprietary Application Information .....	11
C. Volume I - Technical and Business Volume .....	12
D. Volume II - Budget and Financial Information Volume .....	14
E. Required Forms .....	17
IV. EVALUATION OF APPLICATIONS .....	17
A. Initial Screening .....	17
B. Minimum Qualifications .....	18
C. Comprehensive Evaluation .....	18
D. Evaluation Criteria .....	18
E. Program Policy Factors .....	19
V. ADDITIONAL INFORMATION .....	20

## **MILLION SOLAR ROOFS INITIATIVE SMALL GRANT PROGRAM FOR STATE AND LOCAL PARTNERSHIPS**

### **I. INTRODUCTION**

The Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy, is soliciting Applications for Million Solar Roofs Initiative State and Local Partnerships. The goal of DOE through this Solicitation is to assist Million Solar Roofs Initiative State and Local Partnerships in developing and implementing programs to further the use of solar energy on buildings. Through Grants, DOE intends to provide financial support to identified Partnerships to eliminate barriers and implement programs to further the use of solar energy systems on buildings under provisions of the Solar Photovoltaic Energy Research, Development, and Demonstration Act of 1978, as amended, and the Energy Policy Act of 1992 (EPAAct): Public Law 102-486. This is not a solicitation for research, development or demonstration.

#### **A. Objective**

The Department of Energy's (DOE) Million Solar Roofs (MSR) Initiative is an initiative to install solar energy systems on one million buildings in the United States (U.S.) by 2010. It was announced by President Clinton on June 26, 1997 in his speech before the United Nations Session on Environment and Development. This effort includes two types of solar energy technology: 1) photovoltaics that produce electricity from sunlight, and 2) solar thermal panels that produce heat for domestic hot water, for space heating or for heating swimming pools.

A key strategy of the Initiative is to catalyze market demand in local areas through the establishment of State and Community MSR Partnerships. The overall goal of this solicitation is to assist State and Local Partnerships to contribute to the installation of one million solar energy systems on U.S. rooftops by the year 2010. This solicitation is only open to existing and new MSR State and Local Partnerships who did not receive funding in FY 1999 from DOE. These Partnerships bring together business, government and community organizations at the regional level with a commitment to install a pre-determined number of solar energy systems.

There were forty such existing partnerships under the MSR Initiative, as of October 1, 1999. They received their MSR Partnership designation by writing a letter of commitment to DOE with their goal for actual installations by 2010. In return, DOE provides access to a variety of financing options; training and technical assistance from DOE's existing infrastructure; recognition and support; and a link to solar energy businesses, associations and related industries that can provide assistance. New MSR Partnerships can declare their intent to join the Initiative by including such a letter with their application for this solicitation. A complete description of partnerships and their representative activities can be found in Appendix A and on the MSR website at <http://www.MillionSolarRoofs.org>.

DOE's Office of Energy Efficiency and Renewable Energy will only consider proposals from interested State and Local Partnerships to help fund their MSR program development and implementation activities. Only those existing or new MSR Partnerships whose partners did not receive funding from DOE in FY 1999 under the "Million Solar Roofs Initiative Small Grant Program For State And Local Partnerships" or the "State Energy Program Special Projects Solicitation" MSR component are eligible to apply for funding in FY 2000. Projects will be managed by the DOE Regional Offices (Refer to Appendix B). DOE intends to allocate a portion of total available funding to each of the six DOE regions based on a formula that considers existing partnerships and the potential for new partnerships to be established. Applicants will only be competing against other partnerships in their DOE region as reflected in Appendix B.

The project or activity must be conducted in a designated MSR partnership community. Any member of a State or Local Partnership, except industry associations, can apply on behalf of the Partnership, including builders, energy service providers, utilities, non-governmental organizations, local governments, or state governments. The different organizations/offices involved in a State or Community Partnership are encouraged to collaborate on their response to this solicitation. There is no cost-sharing requirement for these grants although cost-sharing will be considered in the selection process.

Subject to the availability of funds, multiple awards for a total of \$500,000 (DOE funding) in Fiscal Year (FY) 2000 are anticipated as a result of this Solicitation. DOE will fund up to \$50,000 per project. Subject to the availability of funds, DOE anticipates funding approximately 10 to 25 small grants in the amount of \$10,000 to \$50,000 each.

## **B. Scope**

Proposals under this solicitation must further the work of State and Local Partnerships, including partners in the building industry, state and local governments, utilities, the solar energy industry, financial institutions and non-governmental organizations, to remove market barriers to solar energy use and to develop and strengthen local demand for solar energy products and applications.

Successful applications shall demonstrate the potential for catalyzing market demand in local areas through the elimination of market barriers to the use of solar energy systems. Applicants shall have established or formed State and Local Partnerships to conduct their MSR program development and implementation activities. Viability of the partnership to eliminate market barriers for the use of solar energy systems on buildings will be a major factor in selecting projects for award under this solicitation. Applicants should propose a viable plan for addressing barriers which inhibit local market penetration and a strategy for strengthening local demand for solar energy products and applications. For Applicants to become an MSR Partnership and be considered for award under this solicitation, they must possess the capabilities and resources to install a minimum of 500 solar energy systems by 2010.

Each collaborative project shall involve, as a minimum, the development and implementation of a strategy for addressing barriers which inhibit local market penetration and development of an implementation plan for the installation of solar energy technology in their local communities.

During the grant period, each Partnership awarded a grant will develop and/or complete an implementation plan for solar energy installations under the MSR Initiative and will implement a process to register and track solar energy systems installed through the MSR Registry. The implementation plan will outline the process they will follow to meet their pre-determined goals for solar energy installations in their community. The implementation plan might include steps that must be taken to remove existing barriers, educate citizens, establish a supporting infrastructure, etc. The implementation plan will be the final product of these grants.

If an Applicant plans to enter into a relationship with a DOE National Laboratory, the work scope must be identified as a separate task on the Statement of Work and related cost must be specifically identified in the budget. Funds from this solicitation may not be used to purchase solar energy systems hardware.

The following noncomprehensive list provides examples of types of activities a Partnership may consider including in their application:

- 1) Study the Localized Barriers to Solar Energy Applications  
Barriers can include restrictive codes and standards, lack of public awareness and education, prohibitive interconnection standards applied by energy service providers, lack of adequate financing options, and more. A community may choose to address one, or any combination of these issues depending on their local situation.
- 2) Support Net Metering for Photovoltaics (PV)  
Net metering improves the economics of PV generation by allowing customers to capture the retail value of electricity for most or all of their PV generation. It is already an option in many states. States and communities might identify implementation of net metering as a critical issue to address in order to improve the economics of PV in their area.
- 3) Design Charrettes  
Charrettes are intensive workshops involving a mix of professionals who work with a community to solve specific design problems. Design charrettes can be one day long or last a week depending on the scope and detail of the problems and issues tackled. Charrettes may be used to help create a framework for implementing solar energy installations in a community or state.

- 4) **Develop And/Or Modify Codes and Covenants That Affect Solar Energy Installations**  
Many communities or developments have adopted restrictions that make it difficult or impossible for a homeowner to install solar energy systems on their roof. A partnership may choose to work with community groups, local governments, and/or developers to address these unnecessary restrictions.
- 5) **Training for Building Officials, the Construction Industry, Realtors, Solar Energy Installers and Utility Personnel**  
Providing information and education on solar energy technologies is often the easiest and most effective way to earn the support of related businesses sectors. A partnership may identify one or more groups of professionals as a priority for training and education.
- 6) **Conduct an Economic Study of the Benefits of Solar Energy Technologies**  
A partnership may want to look at the economic benefits of using solar energy technologies in their state or community. This analysis can be critical to work with constituency groups, customers, legislators, and businesses.

A detailed Statement of Work (SOW), schedule, cost estimate, and completed Application forms shall be included in the Application. The Applicant must show the capability to perform the work by identifying relevant corporate experience, qualifications of key personnel, and facilities. Qualifications of any subcontractors and/or consultants anticipated to participate in the Project should be identified and included. (See Evaluation Criteria.)

### **C. Technical Evaluation Criteria**

The following is a listing of the factors which will be considered in evaluation and award.

#### **Criteria 1: Relevance to the Million Solar Roofs Initiative Objectives** Weight 25%

Evaluation of this section will be based on the relevance of the proposed project: 1) to meet the community's stated MSR goal, and 2) to meet the overall objectives and development of MSR nationwide.

#### **Criteria 2: Evidence of Million Solar Roofs Leadership and Commitment and Public Participation** Weight 25%

Evaluation of this section will be based on the: 1) evidence of strong leadership, public involvement and community commitment, 2) level of participation and commitments by project partners, and 3) extent of integration with other DOE and other Federal agency community activities.

Criteria 3: Statement of Work

Weight 20%

Evaluation of this section will be based on: 1) adequacy and completeness of the Statement of Work, and 2) adequacy of the information presented for achieving project objectives through realistic milestones and logical task structure

Criteria 4: Ability for other State and Local Partnerships to Learn from and Replicate Actions

Weight 10%

Evaluation of this section will be based on the: 1) replicability of actions in other communities, and 2) extent to which future Partnerships can learn from and model their actions after the community.

Criteria 5: Potential Benefits and Barriers for Solar Energy Use

Weight 10%

Evaluation of this section will be based on: 1) the quality of the plan for measuring and evaluating success of the project, and 2) the connection between the project's and broader community's objectives.

Criteria 6: Applicant and Participant Roles, Capabilities and Organization

Weight 10%

Evaluation of this section will be based on: 1) adequacy of the project management plan, with respect to proposed tasks and organizational structure, to achieve project objectives; 2) capabilities of the Applicant and Participants to comprehensively address all aspects of proposed project; 3) adequacy of resources to accommodate the proposed project; and 4) qualifications and experience of key personnel.

**II. GENERAL INFORMATION****A. Solicitation Definitions**

**"Applicant"** means the legal entity or individual signing the Application. This entity or individual may be one organization or a single entity representative of a group of organizations (such as a Consortium) that have chosen to submit a single Application in response to this Solicitation.

**"Application"** means the documentation submitted in response to this Solicitation.

**"Award"** means the written documentation executed by a DOE Contracting Officer, after an Applicant is selected, which contains the terms and conditions for providing Financial Assistance to the Applicant.

**"Budget"** means the Cost expenditure plan submitted in the Application, including both the DOE contribution and the Applicant share.

**"Budget Period"** means an interval of time, specified in the Award, into which a Project is divided for budgeting and funding purposes.

**"Consortium (plural consortia)"** means the group of organizations or individuals that have chosen to complete and submit a single Application in response to this Solicitation. The Consortium must designate a single entity as its representative for purposes of submitting an application.

**"Contracting Officer"** means the DOE official authorized to execute Awards on behalf of DOE and who is responsible for the business management and non-program aspects of the Financial Assistance process.

**"Cost Sharing"** means the respective share of Total Project Costs to be contributed by the Applicant and by DOE. The percentage of Applicant Cost Share is to be applied to the Total Project Cost (i.e., the sum of Applicant plus DOE Cost Shares) rather than to the DOE contribution alone.

**"Financial Assistance"** means the transfer of money or property to a Applicant or subapplicant to accomplish a public purpose of support authorized by Federal statute through Grants or cooperative agreements and subawards. In DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

**"Grant"** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the applicant during the performance of the contemplated activity.

**"Key Personnel"** means the individuals who will have significant roles in planning and implementation of the proposed Project on the part of the Applicant.

**"Million Solar Roofs Initiative State and Local Partnerships"** means those entities that have submitted a letter to the MSR Coordinator and have been accepted by the Coordinator as Partnerships in the Initiative.

**"Participant or Partner"** means any entity substantially involved in a Consortium, or other business arrangement (including major subcontractors), responding to this Solicitation.

**"Project"** means the set of activities described in an Application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).



**"Project Period"** means the total period of time indicated in an Award during which DOE expects to provide support contingent upon satisfactory progress and available funds. A Project Period may consist of one or more Budget Periods and may be extended by DOE.

**"Recipient"** means the organization, individual, or other entity which receives an Award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and conditions of the Award.

**"Selection"** means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

**"Solicitation"** means a document which requests the submission of Applications for support and which describes the objectives, Applicant and Project eligibility requirements, desired performance activity, evaluation criteria, Award terms and conditions, and other relevant information about the opportunity.

**"Substantial Involvement"** means involvement on the part of the government that includes direction which the Applicant is required to follow. Such involvement will be negotiated with each Applicant prior to signing any agreement.

**"Total Project Cost"** means all the funds required to complete the effort proposed by the Applicant, including DOE funds plus all other funds that will be committed by the Applicant as Cost Sharing.

## **B. Eligibility Requirements**

Eligibility for award is restricted to MSR State and Local Partnerships recognized as such by the U.S. Department of Energy at the time of submission of application, and that did not receive funding from DOE in FY 1999. Attached is a description of these partnerships and the process for receiving DOE recognition in Appendix A. Applicants who are currently not recognized as a MSR State and Community Partnership must attach a letter to the Application in accordance with Attachment A in order to be considered for evaluation. All applicants submitting letters that meet the minimum requirements in Appendix A to establish partnerships will be review by DOE to determine eligibility to receive an award.

## **C. Amendments and Applicant Notice of Intent to Submit an Application**

In order to be notified of solicitation amendments, applicants intending to submit an Application in response to this Solicitation must provide written notification by mail to: Ruth E. Adams,

Contracting Officer, DOE Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401-3393; or transmitted via facsimile to Ruth E. Adams, Contracting Officer at (303) 275-4788; or transmitted electronically to [ruth\\_adams@nrel.gov](mailto:ruth_adams@nrel.gov) by December 30, 1999. Notifications must include the Solicitation number, MSR State and Local Partnership name and participants, name of the point of contact, telephone number, and e-mail address. Otherwise, applicants will be responsible for accessing amendments which are placed on the Golden Field Office Home Page at <http://www.eren.doe.gov/golden/solicitations.html> only. DOE does not intend to issue hard copies. Only those parties submitting written notification of intent by December 30, 1999, or that registered on the homepage, will receive e-mail notices that Amendments, if any, to this solicitation, have been posted on the Home Page. DOE reserves the right to extend the closing date for Applications, if necessary, and will only notify those entities that have provided written notification of their intent to submit an Application or registered on the homepage.

#### **D. Time and Place for Submission of Applications**

Applications are due at 3:00 PM Mountain Standard Time, on February 1, 2000. Applications must be addressed to: U.S. Department of Energy, Golden Field Office, ATTN: Ruth E. Adams, Contracting Officer, 1617 Cole Boulevard, Golden, Colorado 80401-3393. An Application received after the aforementioned date shall be considered a late submission and not eligible for consideration unless it: (a) was postmarked or otherwise dated by commercial carrier not later than the Application due date specified above (PRIVATE METERED POSTMARKS ARE NOT ACCEPTABLE PROOF OF THE DATE OF MAILING) and (b) is received before the Technical Evaluation of Applications submitted in response to the Solicitation begins. The envelope containing the application must be marked Solicitation Number DE-PS36-00GO10496.

If hand carried, Applications must be delivered to 1617 Cole Boulevard, Building 17, Room 351-11, Golden, CO 80401-3393 by the aforementioned time and date. The Applicant's courier must complete, sign and have signed by the DOE person accepting the Application, a receipt that will be available from DOE. Failure to complete the receipt shall render the Application late and subject to the paragraph above (10 CFR Part 600.8(c)(10)).

#### **E. Questions**

All questions concerning the Solicitation must be submitted by January 13, 2000, in writing to: Ruth E. Adams, Contracting Officer, DOE Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401-3393 or transmitted via facsimile to Ruth E. Adams, Contracting Officer at (303) 275-4788, or electronically to [ruth\\_adams@nrel.gov](mailto:ruth_adams@nrel.gov). Responses to questions will be made by Amendment to the Solicitation. For general information on the MSR Initiative, contact the Regional Support Office contact listed in Appendix B or visit the MSR website at <http://www.MillionSolarRoofs.org> for additional information on the Initiative.

#### **F. Award Instrument**

It is DOE's intention to award Grants to the successful Applicants.

A sample agreement may be obtained at the Golden Field Office Home Page at <http://www.eren.doe.gov/golden/awarddocs.html>. Appropriate intellectual property provisions will be negotiated and incorporated in any resulting agreement as determined by the Applicant's status (small business, large business, non-profit, etc.) and the particular Project.

If an Application is submitted by a Consortium, or other business arrangement with more than one Participant, the Participants must decide how they will structure themselves (prime Recipient with subcontractors or establish a separate legal entity) such that DOE can issue the Award to a single legal entity. National laboratories shall not be considered as Applicants or Participants of consortia responding to this Solicitation. Negotiation, award, and administration will be in accordance with DOE Financial Assistance Rules (10 CFR Part 600).

**G. Cost Sharing**

There is no cost-sharing requirement for these grants, but cost-sharing will be considered as a program policy factor in the selection process. In-kind contributions (e.g., contributions of services or property, donated equipment, buildings, or land, donated supplies, or unrecovered indirect costs) incurred as part of this Project, may be considered as all or part of the Cost Share as described under 10 CFR Part 600, Section 600.123, or for state and local governments, Section 600.224. All Participant Cost Sharing must come from non-Federal sources (i.e., private, state or local Government, or any other sources that were not originally derived from Federal funds).

**H. Catalog of Federal Domestic Assistance (CFDA) Number**

The CFDA number for this Solicitation is 81.118. This information is provided for completion of Block 10 of the Application for Federal Assistance, Standard Form (SF) 424. Additionally, it is the opinion of DOE that Executive Order 12372 which requires review of certain Financial Assistance Applications by states does not apply to this action. However, each Applicant should contact its state office of Federal programs to ensure that the order will not apply.

**I. Sub-Awards to Debarred and Suspended Parties**

Applicants and Participants, at any tier, must not make any subaward or permit any subaward (subcontract) to any party which is debarred, suspended, or is otherwise excluded from or ineligible for participation in Federal Assistance programs under Executive Order 12549, "Debarment and Suspension" or is otherwise ineligible hereunder.

**J. Financial Assistance for Application Preparation**

No funding will be available under the DOE Minority Economic Impact (MEI) loan program for preparation of Applications in response to this Solicitation. DOE assumes no responsibility for

any costs associated with Application preparation or submission of Applications if an Award is not made. If an Award is made, such costs may be allowable as provided in the applicable cost principles.

**K. National Environmental Policy Act (NEPA) Requirements**

All Applicants shall complete an Environmental Checklist, GO-EF1. The Environmental Checklist is a series of questions designed to gather information in the following general areas as related to the proposed Project: chemicals, waste generation, emissions, permitting, natural resources and any unique or controversial issues. The requested information will be used by DOE to evaluate any potential impacts (positive and negative) on the environment and be of enough detail for the Department to meet its requirements under NEPA in its selection of Applications for negotiation of Award.

Applicants are restricted from taking any irreversible action, prior to DOE/GO reaching a final NEPA decision regarding the proposed Project. Irreversible actions include demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. This restriction, however, does not preclude the Applicant from developing plans, preliminary designs, or performing other necessary support work prior to DOE/GO reaching its final NEPA decision, provided the work has been authorized by DOE.

**L. Notice Regarding Eligible/Ineligible Activities**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

**M. Lobbying Restrictions**

LOBBYING RESTRICTION (ENERGY & WATER DEVELOPMENT APPROPRIATIONS ACT)

The contractor or awardee agrees that none of the funds obligated on an Award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to members of Congress as described in 18 U.S.C. 1912. This restriction is in addition to those prescribed elsewhere in statute and regulation.

**N. Notice Regarding Purchase of American-Made Equipment and Products -- Sense of Congress**

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under an Award should be American-made.

### **III. APPLICATION PREPARATION INSTRUCTIONS**

#### **A. General Instructions**

A detailed Statement of Work (SOW), schedule, cost estimate, and completed Application forms shall be included as part of the Application. The Applicant must show the capability to perform the work by identifying relevant corporate experience, technical and business qualifications, and facilities. Qualifications of any subcontractors and/or consultants anticipated to participate in the Project shall be identified and included. Applications shall be submitted in two separate volumes which are distinctly marked as follows:

Volume I - Technical Volume

Volume II - Business Volume

To aid in the evaluation, Applications shall be clearly and concisely written, as well as being neat, indexed and logically assembled. The Applications shall be typed in a minimum of 10 point font on single-sided 8.5" x 11" paper. Illustrations should be legible, foldouts should, in general, be no more than 11" x 17" in size. All pages of each volume shall be appropriately numbered (including foldouts), and each Volume shall contain the name of the Applicant, point of contact including telephone and facsimile number, electronic mail address, the date, and the Solicitation number DE-PS36-00GO10496. To facilitate orderly and expedient review of the applications, the format prescribed by this Guide should be followed.

#### **B. Proprietary Application Information**

Applications submitted in response to this Solicitation may contain trade secrets and/or privileged or confidential commercial or financial information which the Applicant does not want used or disclosed for any purpose other than evaluation of the Application. The use and disclosure of such data may be restricted provided the Applicant marks the cover sheet of the Application with the following legend, specifying the pages of the Application which are to be restricted in accordance with the conditions of the legend:

"The data contained in pages \_\_\_\_\_ of this Application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this Applicant receives an Award as a result of or in connection with the submission of this Application, DOE shall have the right to use or disclose the data herein to the extent provided in the Award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the Applicant."

Further, to protect such data, each page containing such data shall be specifically identified and marked, including each line or paragraph containing the data to be protected with the legend similar to the following:

"Use or disclosure of the data set forth above is subject to the restriction on the cover page of this Application."

It should be noted, however, that the data bearing the aforementioned legend may be subject to release under the provisions of the Freedom of Information Act (FOIA), if DOE or a court determines that the material so marked is not exempt under the FOIA. The Government assumes no liability for disclosure or use of unmarked data and may use such data for any purpose.

Applicants are hereby notified that DOE intends to make all Applications submitted available to non-Government personnel for the sole purpose of assisting the DOE in its evaluation of the Applications. These individuals will be required to protect the confidentiality of any specifically identified information obtained as a result of their participation in the evaluation.

## **C. Volume I - Technical Volume**

### **1. Number of Copies and Cover Page**

Volume I shall be submitted in an original plus six (6) copies. The original Application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through 7. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the Application, but six (6) copies would be appreciated. The name, signature, title, address, phone number, facsimile, and electronic mail address of an authorized representative of the Applicant(s), along with the name and type of organization, must appear on the cover page of all copies of Volume I of the Application.

## 2. Table of Contents and Pages

Volume I shall include a table of contents and page numbers corresponding to the elements outlined in these guidelines. Certain sections of Volume I shall be limited to a maximum number of pages as indicated below. Volume I shall consist of:

- a) Cover Page
- b) Table of Contents
- c) Technical Summary (1 page limit)
- d) Technical Proposal (6 page limit including foldouts)
- e) Statement of Work (2 page limit)
- f) Personnel Resumes (2 page limit each)
- g) Letters of Commitment (no page limit)

## 3. Technical Summary

A one page technical summary, describing in general terms the proposed Project, must be prepared and submitted with the Application. The technical summary should identify the main objectives, general overview of the project, and the applicable MSR Partnership Community. Applicants must also provide an explanation of the proposed Project benefits from DOE funding. The summary should be informative and contain information which is releasable to the public.

## 4. Technical Proposal Structure

The Technical Proposal shall be structured in accordance with the following elements:

- a. Project Description (6 page limit) Provide a concise description of the plan for removing barriers and strengthening local demand for the use of solar energy technology and for developing an implementation plan for installation of solar energy systems. State the purpose of the project, project participants, project duration, and expected results. The plan should address each of the following elements:
  - 1) Relevance to the Million Solar Roofs Initiative Objectives. Provide an explanation of how the proposed project and/or activities support the objectives of the MSR Initiative associated with implementation efforts in your community or state. Describe how these funds will be used to develop or complete an Implementation Plan for your Partnership.

- 2) Evidence of Million Solar Roofs Leadership and Commitment and Public Participation. Describe how the project is community-based and/or plans to involve the community in the project, any relationship to other DOE or other Federal community activities, and the level of participation and commitments by project participants. Letter(s) of commitment from each participant must be included (not counted as part of 6 page limit).
  - 3) Ability for other State and Local Partnerships to Learn from and Replicate Actions. Describe how the proposed project and/or activities will help make this a model for future State and Local Partnerships to follow.
  - 4) Potential Benefits and Barriers for Solar Energy Use. Discuss how the applicant will evaluate and measure success, including the anticipated benefits and challenges in implementing the project.
  - 5) Applicant and Participant Roles, Capabilities and Organization. A description of the organization shall include the names and roles of the Applicant and each Participant involved in the project, including business agreements between the Applicant and Participants (including major subcontractors). The descriptions shall encompass: 1) project management plan with respect to the proposed tasks, including organizational and individual responsibilities; 2) capabilities of the Applicant and each Participant; 3) description of the required resources and their availability; and 4) experience and qualifications of key personnel, including resumes and relevant education, training, and experience (resumes will not be included in the page limitation).
- b. Statement of Work (2 page limit). A detailed Statement of Work which identifies and describes the principle milestones with associated time frames and activities necessary to make the project a success.

#### **D. Volume II- Business Volume**

##### **1. Number of Copies and Cover Page**

Volume II shall be submitted in an original plus three (3) copies. The original Application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through 3. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the Application, but three (3) copies would be appreciated. The name, signature, title, address, phone number, facsimile, and electronic mail address of an authorized representative of the Applicant(s), along with the name and type of organization, must appear on the cover page of all copies of Volume II of the Application.

##### **2. Table of Contents and Pages**



Volume II shall be divided into three parts, Budget, Financial Information, and Certifications and Other Required Forms, and include a table of contents and page numbers corresponding to the elements outlined in these guidelines. No page limit is imposed for Volume II. Volume II shall consist of:

- a) Cover Page
- b) Table of Contents
- c) "Application for Federal Assistance" (SF424) (Must be executed by authorized official)
- d) Part One: Budget
  - d.1 "Federal Assistance Budget Information" (DOE F 4600.4)
  - d.2 "Budget Explanation Page for DOE F 4600.4" (GO-PF20)
  - d.3 Budget Summary By Task
  - d.4 Rate Agreement or Proposal
  - d.5 Cost Sharing
- e) Part Two: Financial Information
  - e.1 Annual Financial Statements
  - e.2 Financial Management System
- f) Part Three: Certifications and Other Required Forms  
See Section III.E, items b through g.

### 3. Part One: Budget

Accurate, complete, and documented cost estimates addressing the cost to perform the work set forth in the Statement of Work shall be submitted. The Budget shall be outlined and supported in accordance with the following instructions:

- a) A summary of all cost data shall be submitted on DOE Form 4600.4.
- b) The information on DOE Form 4600.4 must be supported by detailed information provided through the completion of "Budget Explanation Page for DOE Form 4600.4", GO-PF20. Schedules may be appended as required to fully detail the Project costs. If cost escalation factors are used in determining cost estimates, these factors shall be clearly defined and justified. Any subcontracted costs shall be summarized on a separate supplementary Budget Explanation Page for each subcontractor and totaled on the Applicant's Budget Information Form, under Item f. Fee or profit is prohibited for the entity receiving a Financial Assistance Award.
- c) Provide a Budget summary by task as indicated in the Statement of Work. Other costs (equipment, consultants, etc.) shall be allocated to each task so that the total equals the estimated cost under (1) above.
- d) If your organization has a rate agreement in effect with a Federal agency, or if such an agreement is pending, please forward a copy of the agreement, or the proposed

rates and a Federal point of contact with the Application. If your organization does not have a rate agreement or one is not pending, please forward a supported indirect rate proposal with your Application.

- e) Identify the percentage level and source of Cost Sharing for the proposed Project. NOTE: Although Cost Share is not required it is encouraged. Firm funding commitments are expected and documentation of those commitments must be included in the Application. Additionally, the impact of DOE's Cost Share to the viability of the Project must be addressed, to include justification for the need for federal funds.

NOTE: The Total Project Cost (i.e., sum of Applicant and Participants plus DOE Cost Shares) must be reflected in each completed Budget Explanation Form.

A detailed estimate of the cash value (basis of and the nature, e.g., equipment, labor, facilities, cash, etc.) of all contributions to the Project by each Participant must be provided. Note that "Cost Sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part of the Project may be considered as all or part of the Cost Share. For the purpose of this Solicitation, the "Cost Sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, and OMB Circular A-110.

Foregone fee or profit by the Applicant shall not be considered Cost Sharing under any resulting Award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the Project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127 for the respective Participants.

#### 4. Part Two: Financial Information

Financial data on the Applicant and any Participant(s) providing a source of Cost Sharing or performing work must be provided. The Financial Information shall be outlined and supported in accordance with the following instructions:

- a) Current financial statement for last business year (balance sheet and income and expense statement) for the Applicant and any subcontractor receiving at least 50% of the grant funds. where available, financial statements prepared by certified public accountants should be submitted.
- b) In order to qualify for a Financial Assistance Award, the Applicant must demonstrate a financial management system that satisfies 10 CFR 600.121 or 10 CFR 600.220 by describing its ability to comply. A copy of 10 CFR 600 may be obtained

electronically through the GO Home Page at  
<http://www.eren.doe.gov/golden/solicit.htm>.

#### **E. Required Forms**

All of the following forms, which can be found at  
<http://www.eren.doe.gov/golden/applicationdocs.html>, must be completed and submitted with the Application:

- a) The "Application for Federal Assistance" (SF 424) (**Must be executed**)
- b) The "Financial Assistance Pre-Award Information Sheet" (GO-PF19) (The data furnished in this form will not be used in the evaluation; however, it will be used to determine the appropriate Intellectual Property provisions, based on the type of business, to be used if an Award results.)
- c) The "U.S. DOE Assurance of Compliance" (Form DOE F 1600.5)
- d) The "Grantee Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements" (FA-CERTS)
- e) The "Disclosure of Lobbying Activities" (SF-LLL) (**To be submitted even if no lobbying is certified**)
- f) The "Environmental Checklist" (GO-EF1)
- g) The "Federal Assistance Budget Information" (DOE F 4600.4)
- h) The "Budget Explanation Page for DOE F 4600.4" (GO-PF20)

### **IV. EVALUATION OF APPLICATIONS**

#### **A. Initial Screening**

After receiving the Application, an initial screening will be performed to check the Application package for completeness and minimum qualification requirements. If any required forms or signatures have been omitted, the Applicant shall be contacted to provide these items.

#### **B. Minimum Qualifications**

Minimum qualifications include being an MSR State and Local Partnership that did not receive funding from DOE in FY 1999. New partnerships may be recognized by DOE if a letter is attached to the application in accordance with Section II.B, Eligibility Requirements. Applications that clearly do not meet the minimum requirements will not be comprehensively evaluated or considered for an Award. Applications that do not meet these minimum requirements will not be returned to the Applicant; however those Applicants will be promptly notified.

**C. Comprehensive Evaluation**

Evaluation of Applications will be performed in accordance with 10 CFR Part 600.13. In evaluating Applications, DOE reserves the right to use any assistance deemed advisable, in accordance with applicable regulations, including qualified personnel from other Federal agencies, other Government entities, universities, industry, and DOE contractors. These individuals will be required to protect the confidentiality of any specifically identified trade secrets and/or privileged or confidential commercial or financial information obtained as a result of their participation in this evaluation. Information contained in the Applications shall be treated in accordance with the policies and procedures set forth in 10 CFR Part 600.15. Submission of an Application constitutes consent to the use of outside evaluators.

DOE reserves the right to support all, none, or certain parts of the Application(s) submitted in response to this Solicitation. All Applicants will be notified in writing of the action taken on their Applications. Applicants should allow at least 90 days for DOE's evaluation. The status of any Application during the evaluation and Selection process will not be discussed with Applicants. Unsuccessful Applications will not be returned to the Applicant.

**D. Evaluation Criteria**

1. Application Evaluation Criteria

All timely Applications that fulfill the minimum Application requirements, as determined under the initial review, will be eligible for comprehensive evaluation. Each of the Volume I (Technical Volume) criteria are weighted as specified below. Volume II (Business Volume) will not be point scored. Selection will be based on the merit review results, program policy factors, and the amount of funds available in each DOE Region.

2. Volume I - Technical Volume

See Section I.C., Technical Evaluation Criteria.

3. Volume II - Business Volume

The Budget Plan will be evaluated but will not be point scored. The price proposals will be rated Good or Inadequate. Any Application that rates "inadequate" shall not be considered for Award. The following is a listing of the factors which will be considered in evaluation:

Part One: Budget

- ! Comprehensiveness and rationale of the information provided.
- ! Reasonableness of cost estimates - Reasonableness of cost and probable cost to the government will be considered. The proposed costs will be considered as an indicator, in conjunction with the technical evaluation criteria, of the Applicant's understanding of the Project work.
- ! The breakdown of costs by task structure is reasonable and demonstrates a thorough understanding of the Project work.
- ! Nature (equipment, labor, facilities, cash, etc.) and amount of Cost Sharing proposed, including the method of calculating the value of any in-kind contributions, is reasonable.
- ! Evidence of secure funding commitments.

Part Two: Financial Information

- ! Adequacy of available resources, past performance records and experience, and financial capabilities/position of the team.
- ! Compliance with 10 CFR 600.121 and 10 CFR 600.220 requirements.

**E. Program Policy Factors**

After the technical and business evaluations are completed for an individual Application, DOE intends to apply Program Policy Factors. The purpose of the consideration of these factors is to maximize the effectiveness of available Government funding. These factors will be applied by the Selection Official to insure that national goals and interests are achieved in the implementation of the program. The factors to be applied are:

1. Geographical Diversity
2. Project Diversity
3. Cost-Share

4. Economic and community development benefits, including the facilitation of energy efficiency and renewable energy use: (1) in “empowerment zones” (those areas identified by the Department of Commerce as “historically underutilized business zones”); (2) in brownfields (abandoned, idled, or under-used industrial and commercial sites where expansion or redevelopment is complicated by real or perceived environmental contamination); (3) in “brightfields” (the application of solar technologies on brownfields); or (4) in American Heritage River communities; and
5. Availability of Funds

## **V. ADDITIONAL INFORMATION**

DOE may require Applications to be clarified or supplemented to the extent considered necessary, either through additional written submissions or oral presentations; however, the Award may be made solely on the information contained in the initial Application.

If an Application is submitted by a Consortium, or under other business arrangements, the Participants in that arrangement must decide how they will structure themselves (prime contractor with subcontractors or establish a separate legal entity) such that DOE can issue the Award to a single entity. National laboratories shall not be considered as Applicants or Participants of a Consortia responding to this Solicitation.

Negotiation, award, and administration will be in accordance with DOE Financial Assistance Rules (10 CFR Part 600). A copy of 10 CFR 600 may be obtained electronically through the Golden Field Office Home Page at <http://www.eren.doe.gov/golden/solicit.htm>.

## Appendix A - State and Local Partnership Description

### Million Solar Roofs State and Local Partnerships

**What is a State and Local Partnership.** The Million Solar Roofs (MSR) Initiative is designed to support states and local communities as they develop a strong commitment to the sustained deployment of solar energy technologies. In order to insure positive and productive results, the MSR resources are focused on those areas which have formed strong state or local partnerships which serve as the focal point for solar activity in that area. *Million Solar Roofs State and Local Partnerships* are collaborative ventures that bring together business, government, the energy industry and community organizations -- each individual entity being recognized as a member and partner -- with a commitment to install a set number of solar energy systems. Examples of state and local partners who could participate in a State and Local Partnership include the following:

- Builders
- Energy service providers
- Utilities
- Non-governmental organizations
- Local governments
- State governments

**Becoming a State and Local Partnership.** To become a MSR State and Local Partnership, any state or local entity, on behalf of a specific Partnership, must send a letter to the MSR Coordinator, expressing their commitment to the Initiative's objectives, describing the general nature of the partnership and its membership and indicating their goal for the specific number of qualified solar energy systems to be installed on buildings in their community by 2010. *As a minimum, partnerships must commit to installing 500 solar energy systems by 2010.*

In addition, Partnerships are asked to develop a draft plan for meeting their installation goals under the Initiative. Partnerships are encouraged to base their plans for deployment on local values in relation to the technologies' unique applications and operational attributes. Examples of activities the MSR State and Local Partnerships may undertake as part of their plan include the following:

- Committing state and local government actions to overcome barriers to solar energy and energy efficiency applications in buildings;
- Identifying financial incentives for solar energy installations;
- Establishing net metering for photovoltaics;
- Developing and/or modifying codes and standards that affect solar energy installations;
- Implementing training programs for building officials, the construction industry, solar energy system installers, and utility personnel;
- Providing outreach support for solar energy and energy efficiency;

- Taking part in national information sharing, peer-to-peer exchanges, and cooperative research and training projects;
- Connecting the MSR Initiative with other sustainable community initiatives.

**Partnership Support.** In return for their commitment, the Department of Energy, through its network of Regional Offices will coordinate and provide support for the State and Local Partnerships in their area. This might include the following:

- Access to the MSR Small Grants program for State and Local Partnerships;
- Assistance in accessing low-cost loans, buy-down grants, and other financial assistance;
- Training, technical assistance, and information from DOE's Regional Offices; the program staffs of DOE's Offices of Power Technologies and Building Technology, State and Community Programs; the DOE Federal Energy Management Program; and the DOE national laboratories;
- Recognition and support on a national, regional, and local basis;
- Linkage with solar energy businesses, associations, and related industries that can provide assistance to local partnerships and others interested in solar energy applications.



## **Appendix B - Million Solar Roofs Regional Office Contacts**

All questions concerning the Solicitation must be submitted in writing to: Ruth E. Adams, Contracting Officer, DOE Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401-3393 or transmitted via facsimile to Ruth E. Adams, Contracting Officer at (303) 275-4788, or electronically to [ruth\\_adams@nrel.gov](mailto:ruth_adams@nrel.gov). For general information on the MSR Initiative, contact the Regional Office contact listed in Appendix B or visit the MSR website at <http://www.MillionSolarRoofs.org> for additional information on the Initiative.

### **Atlanta Regional Office**

Dwight Bailey  
730 Peachtree, NE, Suite 876  
Atlanta, GA 30308  
phone: (404) 347-0234  
fax: (404) 347-3098  
email: [dwight.bailey@hq.doe.gov](mailto:dwight.bailey@hq.doe.gov)  
Southeast Region: FL, GA, SC, NC, AL, MS, KY, TN, AR, USVI, PR

### **Boston Regional Office**

Richaud Michaud  
JFK Federal Building  
Room 675  
Boston, MA 02203-0002  
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Northeast Region: CT, ME, MA, NH, NY, VT, RI

### **Chicago Regional Office**

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Julie Pollit  
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(312) 886-8571 - Pollit  
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[julie.pollit@hq.doe.gov](mailto:julie.pollit@hq.doe.gov)  
Region: IL, IN, IA, MI, MN, MO, OH, WI

**Denver Regional Office**

Jamey Evans

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Golden, CO 80401-2266

phone: (303) 275-4813

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email: jamey.evans@hq.doe.gov

Region: CO, KS, LA, MT, NE, NM, ND, OK, SD, TX, UT, WY

**Philadelphia Regional Office**

Susan Guard

1880 John F. Kennedy Blvd.

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fax: (215) 656-6981

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Region: DE, DC, MD, NJ, PA, VA, WV

**Seattle Regional Office**

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fax: (206) 553-2200

email: curtis.framel@hq.doe.gov

Northwest Region: AK, WA, ID, OR, CA, NV, AZ, HI, Pacific Territories